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NEW YORK, NEW YORK 10112-0228  
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Appln. Trans.  
PATENT

A

UTILITY PATENT  
APPLICATION  
TRANSMITTAL

(Only for new nonprovisional  
applications under 37 CFR 1.53(b))

Attorney Docket No. A29823FWC-B

First Named Inventor Joseph F. Traub

Express Mail Label No. EE 053 884 073 US

February 9, 1998

**BY EXPRESS MAIL**

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

Sir:

Enclosed herewith for filing is a patent application of

Joseph F. Traub, Spassimir Paskov, Irwin F. Vanderhoof, Anargyros Papageorgiou

entitled

PORTFOLIO STRUCTURING USING LOW-DISCREPANCY DETERMINISTIC SEQUENCES

which includes:

☒ Specification 31 Total Pages

☒ Drawing(s) 8 Total Sheets

☐ Combined Declaration and Power of Attorney

☐ Newly executed (original or copy)

☐ Copy from a prior application

(for continuation/divisional only - must be filed to avoid surcharge for late filing)

☐ Continuation ☐ Divisional ☒ Continuation-In-Part (CIP)  
of prior application No. 08/902,921 filed July 30, 1997

☒ An Assignment of the invention to The Trustees of Columbia University in the City of New York  
☐ is attached. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.  
☒ will follow.

☒ Small Entity Statement(s)

☒ Small Entity Statement filed in prior application No. 08/285,902 filed August 4, 1994. Status still  
proper and desired.

Attorney Docket No. A29823FWC-B

- ☐ Information Disclosure Statement (IDS) PTO-1449  
☐ Copies of IDS Citations.

☒ Return Receipt Postcard

☐ Other \_\_\_\_\_

The filing fee has been calculated as shown below:

FOR	(Col. 1) No. Filed	(Col. 2) No. Extra	Small Entity Rate	Fee	OR	Other Than A Small Entity Rate	Fee
Basic Fee				\$395			
Total Claims	18	-20 = 0	x \$11=	\$0		x \$22 =	\$0
Ind. Claims	3	-3 = 0	x \$41 =	\$0		x \$82 =	\$0
Multiple Dependent Claim		0	+ \$135 =	\$0		+\$270=	\$0
Total				\$395			

\* If the difference in Col. 1 is less than zero, enter "0" in Col. 2.

Fee Payment Being Made:

☐ Enclosed

☒ Basic filing fee \$395.00

☐ Recording Assignment \$0.00  
[\$40.00; 37 CFR 1.21(h)]

Total Fees Enclosed \$395.00

☒ A check in the amount of \$395.00 to cover filing fee and assignment recordation fee is enclosed.

☒ The Commissioner is hereby authorized to charge payment of any additional filing fees required under 37 CFR 1.16, 1.17, and 1.21(h) associated with this communication or credit any overpayment to Deposit Account No. 02-4377. Two copies of this sheet are enclosed.

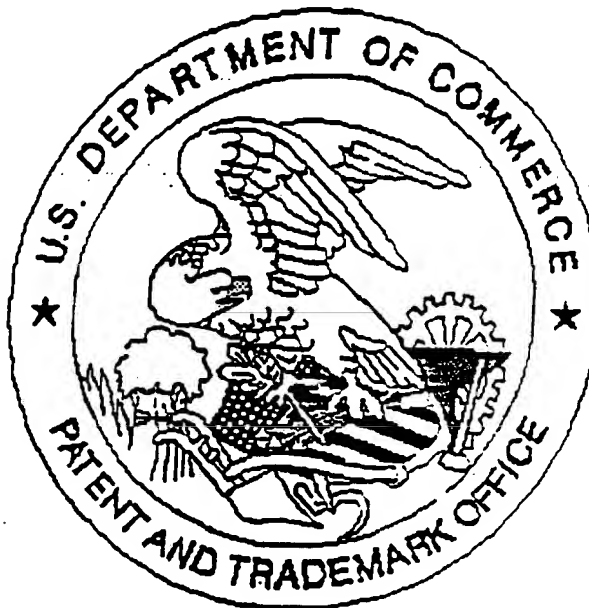
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By Peter A. Businger  
Peter A. Businger

PTO Registration No. 27,862

Enclosures

United States Patent & Trademark Office  
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Application deficiencies found during scanning:

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